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GILSON  
& LIONE

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Appln. of: Pascal J. Gauthereon, et al.  
U.S. Appln. No.: 10/562,185  
Filed: December 22, 2005  
For: SYSTEM AND METHOD OF INVESTING FUNDS

Attention: Manager,  
Application Branch

Attorney Docket No: 10022-802

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

## TRANSMITTAL

Sir:

## Attached is/are:

☒ Transmittal Sheet (in duplicate); Response to Notice To File Missing Parts of Application; Copy of Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US); Declaration for Utility Or Design Patent Application (37 C.F.R. §1.63); Declaration of Cinzia Trantino; Petition Under 37 C.F.R. §1.47(B); Petition for Extension of Time to File Missing Parts (in duplicate); and

☒ Return Receipt Postcard.

## Fee calculation:

☐ No additional fee is required.

☐ Small Entity.

☒ An extension fee in an amount of \$ 2160.00 for a five month extension of time under 37 C.F.R. § 1.136(a).

☒ A petition or processing fee in an amount of \$130.00 under 37 C.F.R. § 1.136(a).

☐ An additional filing fee has been calculated as shown below:

					Small Entity			Not a Small Entity	
	Claims Remaining After Amendment		Highest No. Previously Paid For	Present Extra	Rate	Add'l Fee	or	Rate	Add'l Fee
Total		Minus			x \$25=			x \$50=	
Indep.		Minus			X100=			x \$200=	
First Presentation of Multiple Dep. Claim					+\$180=			+\$360=	
Total					\$			Total	
								\$	

## Fee payment:

☒ A check in the amount of \$ 2290.00 is enclosed.

☐ Please charge Deposit Account No. 23-1925 in the amount of \$. A copy of this Transmittal is enclosed for this purpose.

☐ Payment by credit card in the amount of \$ (Form PTO-2038 is attached).

☒ The Director is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this paper (including any extension fee required to ensure that this paper is timely filed), or to credit any overpayment, to Deposit Account No. 23-1925.

Respectfully submitted,

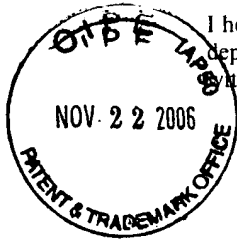
  
Amir N. Penn (Reg. No. 40,767)

November 22, 2006

Date

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& LIONE

BRINKS HOFFER GILSON & LIONE  
NBC Tower - Suite 3600, 455 N. Cityfront Plaza Drive, Chicago, IL 60611-5599



I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage, as Express Mail EV 906813705 US in an envelope addressed to:  
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P.O. Box 1450  
Alexandria, VA 22313  
on November 22, 2006

Date of Deposit

Amir N. Penn (40,767)

Name of applicant, assignee or  
Registered Representative

Signature

11/22/06

Date of Signature

Case No. 10022-802

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of:

Pascal J. Gauthereon, et al.

Serial No.: 10/562,185

Filed: December 22, 2005

For: SYSTEM AND METHOD OF  
INVESTING FUNDS

Attention: Manager,  
Application Branch

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

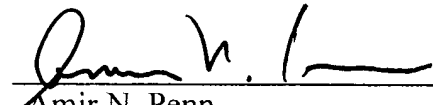
In accordance with the Notification of Missing Requirements Under 35 U.S.C. 371 in the United States Designated/Elected Office (DO/EO/US) dated April 27, 2006, a copy of which is attached, enclosed herewith for filing are the following documents:

- ☒ Partially executed Declaration for Patent Application and Power of Attorney for the above-referenced patent application.
- ☒ Declaration of Cinzia Trantino
- ☒ Petition Under 37 C.F.R. §1.47(b)

- ☒ Applicant is:
- ☐ a small entity, verified statement is:
- ☐ attached
- ☐ already filed
- ☒ other than small entity
- ☒ Checks totaling \$ 2290.00 for:
- ☐ Filing Fee of \$ \_\_\_\_.
- ☒ Surcharge of \$ 130.00.
- ☒ Additional Fees of \$ 2160.00 for 5 month extension.
- ☒ Petition for Extension of Time (37 C.F.R. § 1.136(a)) to file missing parts (in duplicate).
- ☒ Other: Copy of Notification of Missing Requirements
- ☒ The Commissioner is hereby authorized to charge any deficiencies in fees or credit overpayment to Deposit Account No. 23-1925. A duplicate copy of this paper is enclosed.

Respectfully submitted,

Dated: November 22, 2006

  
\_\_\_\_\_  
Amir N. Penn  
Registration No. 40,767  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
P.O. BOX 10395  
CHICAGO, IL 60610  
(312)321-4200



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

U.S. APPLICATION NUMBER NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
10/562,185	Pascal J. Gauthereon	10022-802
INTERNATIONAL APPLICATION NO.		
PCT/AU04/00859		
I.A. FILING DATE		PRIORITY DATE
06/28/2004		06/26/2003

Brinks Hofer Gilson & Lione  
P O Box 10395  
Chicago, IL 60610

CONFIRMATION NO. 3864

371 FORMALITIES LETTER



\*OC000000018625998\*

Date Mailed: 04/27/2006

**NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)**

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as a Designated / Elected Office (37 CFR 1.495).

- Copy of the International Application filed on 12/22/2005
- Copy of the International Search Report filed on 12/22/2005
- Copy of IPE Report filed on 12/22/2005
- Preliminary Amendments filed on 12/22/2005
- Information Disclosure Statements filed on 12/22/2005
- Request for Immediate Examination filed on 12/22/2005
- U.S. Basic National Fees filed on 12/22/2005
- Priority Documents filed on 12/22/2005

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The applicant needs to satisfy supplemental fees problems indicated below.

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date.
- To avoid abandonment, a surcharge (for late submission of filing fee, search fee, examination fee or oath or declaration) as set forth in 37 CFR 1.492(h) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

**SUMMARY OF FEES DUE:**

Total additional fees required for this application is \$130 for a Large Entity:

- \$130 Surcharge.

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTHS FROM THE DATE OF THIS NOTICE OR BY 32 MONTHS FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

*A copy of this notice **MUST** be returned with the response.*

CHARITTA A BURT

Telephone: (703) 308-9140 EXT 207

**PART 2 - OFFICE COPY**

U.S. APPLICATION NUMBER NO.	INTERNATIONAL APPLICATION NO.	ATTY. DOCKET NO.
10/562,185	PCT/AU04/00859	10022-802